

Instructions for Submitting Implementation Status of Recommendations

1. Go to the Web site <http://www.sao.texas.gov/apps/SRSM/>. This will take you directly to a login page. Enter your Comptroller of Public Accounts agency number and your password from the notification email.
2. After signing on, you will go to a “main page” that lists the State Auditor’s Office (SAO) reports that have recommendations that your organization will need to address.
3. To report the status of a recommendation, click on the recommendation’s “Edit Response” link. That will bring you to a page with a form to be completed. Fill out each field as appropriate. A brief description of each field is provided below. **Please provide the requested information for all of the recommendations related to the specific finding, including the target or actual implementation date. Please read the updated description of the Current Response field on page 2 of these instructions for more information about that field.**
4. When finished, click the Submit button. Responses can be edited or updated, and will not be considered final or be evaluated by the SAO until after submission deadline. After the deadline responses are final and cannot be updated. See your notification email for more information about the submission deadline.

Helpful Notes

Reports: A report can be created by clicking the Create Report button in the top, right-hand part of the main page. That report will include all recommendations that require a response, along with the finding, response history, and any current response that has been entered.

Printing: You can print what you have submitted online. At the page where you enter your response information, look for the Print Version link at the top of the page. Clicking on that link will take you to a printer-friendly version of the Web page. Clicking the “Web Version” link will allow you to continue entering your response.

History of Prior Responses: For your convenience, there is a link to a history of any previous responses that your entity provided regarding a recommendation. The link is located next to the Current Response field on the response entry form page.

Internal Audit Validation: There is no requirement to have your implementation status information “certified” or “validated” with an internal or external audit. However, some entities have had their internal audit department review implementation assertions for further assurance. If your entity has had its internal audit department review

implementation assertions, that is useful information that you may wish to include in your narrative response.

Description of the five fields to complete

Status field - This field represents management's assertion regarding the status of the audit recommendation. The status categories and their definitions are as follows:

- **Fully Implemented**: Successful development and use of a process, system, or policy to implement a recommendation.
- **Substantially Implemented**: Successful development but inconsistent use of a process, system, or policy to implement a recommendation.
- **Incomplete/Ongoing**: Ongoing development of a process, system, or policy to address a recommendation.
- **Not Implemented**: Lack of a formal process, system, or policy to address a recommendation.

Target/Implementation Date field (MM/DD/YEAR) - If you are uncertain about a specific future target date, use your best estimate and explain the situation in the "Current Response" field. The date of implementation would be considered the first day that a recommendation was considered fully implemented.

Contact Name field - Provide the name of the employee responsible for the implementation of the recommendation.

Contact Title field - Provide the Contact Name's job title.

Current Response field - Provide a brief narrative update on the status of the recommendation (for example, explain that a recommendation is now implemented, describe activities completed and activities your entity plans to implement, explain why no action has been taken, etc.). Keep in mind that this narrative may be audited or used in a published report.

Please use the Current Response field to show the status of various multi-part recommendations when:

1. A finding has multiple recommendations, each of which has a different status (for example, "Fully Implemented," "Not Implemented," etc.).
2. A recommendation has multiple bulleted sub-parts, each of which has a different status (for example, "Fully Implemented," "Not Implemented," etc.).